

CERTIFICATE OF MAILING

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Eric R. Witten  
Attorney for Applicants

PATENT APPLICATION  
Docket No. 2600.2.16

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Horst Noglik et al. )  
Serial No.: 10/647,905 )  
Filed: August 25, 2003 )  
For: POLYMER SYSTEM WITH SWITCHABLE )  
PHYSICAL PROPERTIES AND ITS USE IN )  
DIRECT EXPOSURE PRINTING PLATES )

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith is an Information Disclosure Statement disclosing information which has come to the attention of applicants and/or their attorneys and is being submitted so as to comply with the duty of disclosure set forth in 37 C.F.R. § 1.56. In accordance with 37 C.F.R. § 1.97(b), the enclosed Statement is being filed within three (3) months of the filing date of the above-identified application or before the mailing date of a first Action on the merits.

Neither applicants nor their attorneys make any representation that any information disclosed herein may be "prior art" within the meaning of that term under 35 U.S.C. § 102 or § 103. Moreover, pursuant to 37 C.F.R. § 1.97, the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made or as an admission that the



information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

In accordance with 37 C.F.R. § 1.98, transmitted herewith are:

1. A completed copy of Form PTO/SB/08A "Information Disclosure Statement by Applicant" listing the patents, publications and other information being submitted for consideration; and
2. A legible copy of each patent, publication and other item of information in written form listed on the enclosed Form PTO/SB/08A, except for copies of U.S. patents and published U.S. patent applications which are not required for applications filed after June 30, 2003.

As this application was filed after June 30, 2003, copies of the U.S. patents and published U.S. patent applications listed on the enclosed Form PTO/SB/08A are not required and, therefore, not included herewith.

#### NON-ENGLISH INFORMATION

Pursuant to 37 C.F.R. § 1.98, following is a concise explanation of the relevance (as it is presently understood by the individual designated in 37 C.F.R. § 1.56(c) most knowledgeable about the content of the information), of each listed patent, publication or other information that is not in the English language:

1. Japanese Patent Application No. 11070756 published March 16, 1999 discloses:  
**PROBLEM TO BE SOLVED:** To eliminate scumming by a method wherein a hydrophilic binder polymer is three-dimensionally crosslinked by utilizing interaction between a polyvalent metal ion and a Lewis base part contg. nitrogen, oxygen or sulfur existing in the hydrophilic binder polymer and a thin film layer of a hydrophilic polymer is provided on the surface of a hydrophilic layer.  
**SOLUTION:** A heat-sensitive lithographic printing raw plate has a hydrophilic layer contg. a microcapsule lipophilic ingredient which is transformed to an image

part by heat and a hydrophilic binder polymer and a substrate. In addition, the hydrophilic binder polymer is three-dimensionally crosslinked by interaction between a polyvalent metal ion and a Lewis base part contg. nitrogen, oxygen or sulfur existing in the hydrophilic binder polymer. In addition, a thin film of a hydrophilic polymer is provided on the surface of the hydrophilic layer. Therefore, substances for cause of stain coming from the outside are suppressed. It is possible thereby to obtain a lithographic printing plate with high printability and high dimensional accuracy and to obtain a lithographic printing raw plate which provides a printed matter with no scumming and with clear image.

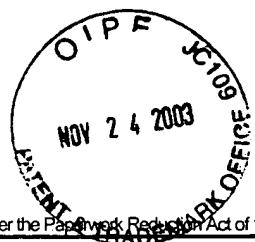
Respectfully submitted,



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Date: November 20, 2003

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

2

**Complete if Known**

Application Number	10/647,905
Filing Date	August 25, 2003
First Named Inventor	Horst Noglik
Group Art Unit	
Examiner Name	
Attorney Docket Number	2600.2.16

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
U1	US-4,927,737-B1		05/22/1990	Walls et al.	
U2	US-5,273,862-B1		12/28/1993	Zertani et al.	
U3	US-5,286,594-B1		02/15/1994	Sypek et al.	
U4	US-5,340,681-B1		08/23/1994	Sypek et al.	
U5	US-5,597,677-B1		01/28/1997	Kangas et al.	
U6	US-5,677,108-B1		10/14/1997	Chia et al.	
U7	US-5,677,110-B1		10/14/1997	Chia et al.	
U8	US-5,786,127-B1		07/28/1998	Madoux et al.	
U9	US-5,997,993-B1		12/07/1999	Bi et al.	
U10	US-6,051,366-B1		04/18/2000	Baumann et al.	
U11	US-6,171,748-B1		01/09/2001	Tanaka et al.	
U12	US-6,238,838-B1		05/29/2001	Gaschler et al.	
U13	US-6,352,819-B1		03/05/2002	Kenney et al.	
U14	US-6,387,595-B1		05/14/2002	Teng	
U15	US-6,397,749-B1		06/04/2002	Kita et al.	
U16	US-6,420,089-B1		07/16/2002	Baumann et al.	
U17	US-6,468,717-B1		10/22/2002	Kita et al.	
U18	US-6,495,310-B2		12/17/2002	Teng	
U19	US-6,503,684-B1		01/07/2003	Vermeersch et al.	
U20	US-6,513,433-B2		02/04/2003	Inoue et al.	
U21	US-6,576,397-B2		06/10/2003	Kita et al.	
U22	US-6,576,401-B2		06/10/2003	Teng	
U23	US-6,593,057-B2		07/15/2003	Kita	
U24	US-6,596,455-B2		07/22/2003	Yanaka et al.	

Examiner Signature		Date Considered
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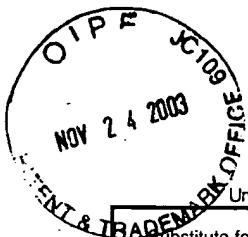
<sup>1</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>2</sup> Applicant's unique citation designation number (optional). <sup>3</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449A/PTO		<i>Complete if Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number	10/647,905
(use as many sheets as necessary)		Filing Date	August 25, 2003
Sheet 2 of 2		First Named Inventor	Horst Noglik
		Group Art Unit	
		Examiner Name	
		Attorney Docket Number	2600.2.16

<b>FOREIGN PATENT DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> ( <i>if known</i> )				
F1	WO - 98/13394		04/02/1998	Baumann, et al.		
F2	WO - 99/06890		02/11/1999	Pappas, et al.		
F3	JP - 11070756		03/16/1999	Migaku, et al.		
F4	WO - 99/41077		08/19/1999	Rozell, et al.		
F5	EP - 1072402		01/31/2001	Kita, et al.		
F6	EP 1,136,256		09/26/2001	Kita, et al.		
F7	WO - 01/81008		11/01/2001	Woodhall, et al.		
F8	EP - 0917544		12/18/2002	Baumann, et al.		
F9	EP - 1000387		11/05/2003	Pappas, et al.		

Examiner Signature	Date Considered
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<sup>2</sup> Applicant's unique citation designation number (optional). <sup>3</sup> Applicant is to place a check mark here if English language Translation is attached.

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